#### STATE OF NORTH DAKOTA

#### **BEFORE THE**

#### **COUNTY OF BURLEIGH**

#### **SECURITIES COMMISSIONER**

In the Matter of Dominion	)	
Investments, Inc.; Tony Adams;	)	CEASE AND DESIST ORDER.
and their Officers, Directors,	)	NOTICE OF CIVIL PENALTY, AND
Agents, and Employees,	)	NOTICE OF RIGHT TO
	)	REQUEST A HEARING
Respondents.	)	

# THE SECURITIES COMMISSIONER OF THE STATE OF NORTH DAKOTA TO DOMINION INVESTMENTS, INC. AND TONY ADAMS:

The North Dakota Securities Commissioner has a reasonable basis to believe that the Respondents have engaged in, are engaging in, or are about to engage in, acts, practices or transactions, as more fully described below, which are prohibited under Chapter 10-04 of the North Dakota Century Code (N.D.C.C.). It is necessary and appropriate in the public interest and for the protection of investors to restrain these acts, practices, or transactions of the Respondents.

- The Respondents have offered for sale and/or sold an investment to at least one resident of North Dakota in violation of N.D.C.C. § 10-04-04. The subject investment is a security as defined in N.D.C.C. § 10-04-02(15).
- 2. The subject investment has not been registered with the Securities Department under N.D.C.C. §§ 10-04-07, 10-04-07.1, 10-04-08, or 10-04-08.1; is not an exempt security under N.D.C.C. § 10-04-05; and has not been offered for sale or sold in an exempt transaction under N.D.C.C. § 10-04-06; and is not a federal covered

- security or was not properly filed as a federal covered security under N.D.C.C. § 10-04-08.4.
- 3. The Respondent, Dominion Investments, Inc., was not registered as a broker-dealer with the Securities Department, in violation of N.D.C.C. § 10-04-10(1).
- 4. The Respondent, Tony Adams, was not registered as an agent with the Securities Department, in violation of N.D.C.C. § 10-04-10(2).
- The Respondents have engaged in a scheme or artifice to defraud investors and/or have otherwise engaged in fraudulent or deceptive practices in violation of N.D.C.C. § 10-04-15.

NOW, THEREFORE, IT IS ORDERED, pursuant to N.D.C.C. § 10-04-16, that the Respondent shall immediately CEASE AND DESIST:

- From offering for sale or selling in North Dakota the subject investment, or any other investment interest however denominated, unless and until such investment interest has been registered with the Securities Department.
- 2. From offering for sale or selling investments in North Dakota unless and until they have registered with the Securities Department as broker-dealers or agents.
- From engaging in a scheme or artifice to defraud investors, or from engaging in any
  fraudulent or deceptive practices in connection with the offer and/or sale of
  securities in this state.

This order does not prohibit the offer or sale of securities through exempt securities transactions under N.D.C.C. § 10-04-06, nor does it prohibit <u>registered</u> dealers and agents from offering or selling exempt securities under N.D.C.C. § 10-04-05 or federal

covered securities offered pursuant to a notice filing made to the Securities Department pursuant to N.D.C.C. § 10-04-08.4.

YOU ARE NOTIFIED that any willful violation of this order is a Class B Felony pursuant to Section 10-04-18(1) N.D.C.C. Pursuant to N.D.C.C. § 12.1-32-01(3), a Class B Felony is punishable by a \$10,000 fine and 10 years' imprisonment, with respect to a natural person. Pursuant to N.D.C.C. § 12.1-32-01.1(2), a Class B Felony is punishable by a \$35,000 fine with respect to an organization.

YOU ARE FURTHER NOTIFIED that, pursuant to N.D.C.C. § 12.1-09-03, a person is guilty of a criminal offense if he intentionally "alters, destroys, mutilates, conceals, or removes a record, document, or thing with intent to impair its verity or availability" in an official proceeding. As such, intentional destruction of any documents related to this matter may result in criminal prosecution.

### NOTICE OF CIVIL PENALTIES

YOU ARE NOTIFIED that the above-cited violations are sufficient grounds for the imposition of civil penalties pursuant to N.D.C.C. § 10-04-16(1). The Securities Commissioner does not herein assess a civil penalty, but the Commissioner expressly reserves the authority to assess civil penalties, not to exceed \$10,000 per violation, regarding the violations outlined above, any other violations subsequently discovered, or any future securities violations or violations of this order.

#### NOTICE OF RIGHT TO REQUEST HEARING

YOU ARE NOTIFIED that pursuant to N.D.C.C. § 10-04-12 you may request a hearing before the Securities Commissioner if such a request is made in writing <u>WITHIN</u> <u>FIFTEEN (15) DAYS AFTER THE RECEIPT OF THIS ORDER.</u> The respondents have the right to be represented by legal counsel at the hearing.

IN TESTIMONY WHEREOF, witness my hand and seal this \_\_\_\_ day of December, 2005.



Karen J. Tyler, Securities Commissioner North Dakota Securities Department 600 Fast Boulevard Ave

600 East Boulevard Ave. State Capitol – Fifth Floor Bismarck, ND 58505-0510 (701) 328-2910

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#### **SECURITIES COMMISSIONER**

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and their Officers, Directors,	) AFFIDAVIT OF SERVICE
Agents, and Employees,	) BY MAIL
	)
Respondents.	)

I, Jacqui Ferderer, being first duly sworn, state that I am a citizen of the United States over the age of twenty-one years and not a party to or interested in the above-entitled proceeding.

On this 9<sup>th</sup> day of December, 2005, I deposited in the Central Mailing Bureau of the United States Post Office Department in the State Capitol in Bismarck, North Dakota, a true and correct copy of each of the following documents:

## CEASE AND DESIST ORDER, NOTICE OF CIVIL PENALTY, AND NOTICE OF RIGHT TO REQUEST A HEARING

A copy of the above document was securely enclosed in an envelope with postage duly prepaid, sent via registered mail, addressed to each of the following:

Tony Adams
Dominion Investments, Inc.
334-235 Earls Court Rd.
London, UK SM5 9JE

To the best of my knowledge, information, and belief, the address given above is the actual mailing address for the party intended to be served or of the attorney representing that party.

Subscribed and sworn to before me this 9<sup>th</sup> day of December, 2005.

Harold P. Kocher, Notary Public Burleigh County, North Dakota My commission expires 4/26/2008